

Third meeting of the Adaptation Committee Bonn, Germany, 18–20 June 2013

Concept note

Preparation of an overview report and annual thematic reports on adaptation

1. Introduction and scope of the note

The Adaptation Committee (AC), in its COP-approved three-year work plan, agreed to identify the process for and scope of an overview report and other periodic reports on adaptation issues relevant to the work of the AC. It further agreed to prepare periodic overview reports synthesizing information and knowledge relating to, inter alia, the implementation of adaptation actions and good adaptation practices, observed trends, lessons learned, gaps and needs, including in the provision of support, and areas requiring further attention, for consideration by the COP, drawing on information from Parties and from other relevant reports and documents, including those of other bodies under the Convention. Following initial deliberations at AC2, the AC agreed that some AC members prepare a concept note for consideration by AC3 to include:

- For the overview report: key features/chapters/issues that the overview report will address and an explanation of major steps in the process of preparing the report (e.g., tasks, authors, reviewers, consultation process, timeline);
- For annual thematic reports: explanation of major steps in the process of preparing annual thematic reports and recommendations on thematic issues for 2014 and 2015;
- Terms of reference for the mandated Ad-hoc group of the AC to carry out the work related to the implementation of these activities, including composition and engagement of other organizations.

This concept note includes suggested concepts for the Overview and the Annual Thematic Reports, including a draft outline for the 2013 Thematic Report as well as envisaged processes and tasks. The note concludes with next steps, including issues for approval by AC3 in order to allow the work to commence.

2. Overview report and annual thematic reports of the Adaptation Committee

The Overview and Annual Thematic Reports will provide information on adaptation to Parties, as well as the broader international adaptation community, and will use the Cancun Adaptation Framework as a guiding and organizing framework. The overarching purpose of the Overview and Annual Thematic Reports, consistent with the functions and mandate of the AC, is:

- To strengthen, consolidate and enhance the sharing of relevant information, knowledge, experience and good practices, at the local, national, regional and international levels, taking into account, as appropriate, traditional knowledge and practices; and
- To provide information and recommendations, drawing on adaptation good practices, for consideration by the COP when providing guidance on means to incentivize the implementation of adaptation actions, including finance, technology and capacity-building and other ways to enable climate-resilient development and reduce vulnerability, including to the operating entities of the financial mechanism of the Convention, as appropriate.

The AC will consider information communicated by Parties on their monitoring and review of adaptation actions, support provided and received possible needs and gaps and other relevant information, including information communicated under the Convention, with a view to

recommending what further actions may be required, as appropriate. The AC will also draw on a rapidly expanding range of information and knowledge products being generated by various processes and initiatives.

3. Overview Report

The AC will produce the Overview Report for consideration by COP 21. The objective of the Overview Report is to be useful to and inform, as appropriate, the strategic directions of the COP and other relevant UN bodies. The AC will seek to incorporate into the report a synthesis and analysis of lessons from relevant global and regional processes and meetings where progress towards the Cancun Adaptation Framework is discussed as well as identify data/information/ knowledge gaps.

The AC will need to make a decision on the substance of the Overview Report. There is a variety of options. The report could consider information on adaptation coming out of the national communications and the fifth assessment report of the IPCC next year, provide a synthesis of information currently available through the Nairobi work programme, or other relevant information, and/or provide an integrated and scientifically credible global adaptation assessment to support decision-making processes at appropriate levels. **It is the recommendation of this small group that the AC at AC3 discusses and agrees on general directions for the substance of the Overview Report.** Based on these general directions, the small group will then prepare a more detailed outline during the inter-sessional period for AC4.

The AC will also need to make a decision on the approach with which we develop the Overview Report. One approach is to develop the report by the AC with support from the secretariat. Another approach is to develop the report in collaboration with UN Agencies and other actors. The advantages, disadvantages, possible trade-offs and investment necessary for each approach are outlined in table 1 below.

Table 1. Comparison of approaches to developing the Overview Report

	In-house effort	Collaborative effort with “outsiders”
Description of the approach	<ul style="list-style-type: none"> A small group of AC members, with support from the secretariat, will develop the report; Input will be solicited from other organizations, but the writing of the report will be done by the AC with support from the secretariat (including the engagement of a consultant). 	<ul style="list-style-type: none"> A small group of AC members, with support from the secretariat, and in collaboration with UN agencies and other actions, will develop the report. This follows on some previous experiences, such as the Global Assessment Report on Disaster Risk Reduction (GAR); Writing of the report will be shared by other organizations; The secretariat, under the guidance of the Chair/Vice-chair and/or interested AC member(s), will provide support and coordination.
Strength	<ul style="list-style-type: none"> Greater control over the product; Less intense process (with regard to time as well as human resources for coordination). 	<ul style="list-style-type: none"> A possibly higher profile publication, with buy-in and coherence co-benefits from collaboration with UN Agencies and other relevant regional organizations; A broader set of perspectives, making the publication a tool for communication, as well as reporting of state of the CAF.
Weakness and risk	<ul style="list-style-type: none"> Reduced chances that report is “owned” by others, including implementing agencies; 	<ul style="list-style-type: none"> The development of the report requires extensive collaboration both within the UNFCCC and

	<ul style="list-style-type: none"> Increased risk that report “sits on shelf” and is not “used” outside of the AC; High demand for inputs from AC members most of whom are already overloaded with work. 	<ul style="list-style-type: none"> between the UNFCCC and UN Agencies, and research institutions. Strong, unified and clear guidance from the AC required.
Other issues to consider	The AC should give careful consideration of gender and regional balances.	The AC should give careful consideration of gender and regional balances.

Considering the strengths and weakness of each approach, **the small group recommends at this point in time to pursue an in-house Overview Report.** The AC can seek input from other stakeholders, but will not depend on their collaborations for publication. Further, while it can not be assumed at this time that the AC will agree to develop another overview report in its next three year work plan, a second Overview Report is possible. In that event, this COP 21 report would provide us with lessons and good practices and serve to set the bar in terms of quality and utility. The AC could consider taking on the more fully collaborative approach based on this first experience.

4. Annual Thematic Reports

The Annual Thematic Reports will be thematic and responsive to topical discussions on adaptation. They could be sector-, scale-, and/or approach-specific. The first of these Annual Thematic Reports will be produced by COP 19 and provide a snapshot of how adaptation is currently addressed under the Convention, including by non-adaptation specific agenda items and institutional arrangements, like those related to means of implementation. With the 2013 thematic report, the AC will seek to raise awareness and understanding about how adaptation is handled under the Convention by the COP, particularly Party representatives, as well as by non-Party observers, who are not deeply engaged in the adaptation negotiations. See the annex for more details on the proposed outline. **The small group recommends that the 2013 thematic report be a stand alone publication (not an annex to the report of the Adaptation Committee to the COP).**

Future topics should be closely linked to activities of the work plan, ensuring that the Annual Thematic Reports support consistence, coherence, etc. Future Annual Thematic Reports will respond to needs of the COP. The AC proposes the following topics and invites the COP to consider them for approval at COP19:

2013—State of Adaptation under the Convention;

2014—Topic should be linked to activities developed by the AC, building on overall coherence and consistency of the work of the AC);

2015—Overview report (Given that the Overview Report will come out in 2015, the small group recommends that we prepare only that report, and not an additional Annual Thematic Report).

5. Process and tasks for developing the 2015 Overview Report and the 2013 Thematic Report on State of Adaptation under the Convention

The small group recommends that the AC establish an ad hoc working group on reports (“Reports Group”) at AC3 to work on the implementation of items 20 and 21 of its work plan. It recommends that the Reports Group be comprised of AC members, including members engaged in the communicatins, information and outreach strategy. The Reports Group will

seek input from external stakeholders. The Reports Group will report to the AC at each of its meetings. It will be supported by the secretariat.

The process for the development of the 2013 Thematic Report is described in table 2 below. The Reports Group will present by AC4 the 2013 draft Annual Thematic Report for consideration and review by the AC. Additionally, it will present the AC with strategic suggestions for the use of annual thematic reports.

The Reports Group will seek further input from AC members at AC3 on the substance and process approach of the Overview Report. Following AC3, it will continue to consult with AC Members and relevant stakeholders on the substance and process approach of the Overview Report and report back to the AC with recommendations by AC4. The suggested process for the 2015 Overview Report is described in Table 3 below.

Table 2. Major steps in preparing the 2013 Thematic Report on State of Adaptation under the Convention

Task	Led by	Deadline
1. Identify and agree on outline	AC	AC3
2. Assemble Reports Group	Chair and Vice Chair	AC3
3. Prepare draft report	Annual report team	July-August
4. Review draft report	AC	AC4
5. Finalize draft report (will need to occur over e-mail)	Annual report team	September-October
6. Disseminate report	AC	November

Table 3. Major steps in preparing the 2015 Overview Report

Task	Led by
1. Identify the theme/focus	AC in consultation with other bodies under the Convention
2. Assemble Reports Group and identify potential stakeholders to provide input	Chair and Vice Chair
3. Develop a draft annotated outline	Report Group
4. Review the draft annotated outline	AC
5. Revise the draft annotated outline	Report Group
6. Collect and synthesize information	Report Group
7. Draft report	Report Group
8. Review the draft	AC
9. Revise the draft report, incorporating comments from the AC	Report Group
11. Seek input from external stakeholders	Report Group
12. Review the draft report	AC
12. Finalize the report	Report Group
13. Disseminate the report	AC

6. Next steps, including issues for approval by AC3

The AC may wish to use the information provided in this note:

- To discuss the proposed concepts for the Overview Report and the Annual Thematic Reports as well as the outlined processes and tasks (sections 2-5) and:
 - To approve the proposed outline, tasks and timeline for the 2013 Annual Thematic Report;
 - To agree on the approach for developing the 2015 Overview Report and on general directions for the substance of the 2015 Overview Report;
 - To agree on the proposed tasks and timeline for the 2015 Overview Report;
 - To assemble the Reports Group.
- To discuss the annex and approve for e-draft for review at AC4.

Annex: Draft outline for the 2013 Thematic Report on State of Adaptation under the Convention

- A. Letter from the chair or lead member of the AC Group
 - B. Introduction to the report and work of the AC (latter part links to E)
 - C. Introduction to adaptation
 - D. The adaptation process
 - a. Milestones COP 7
 - b. Milestones COP 12
 - c. Milestones COP 16: Cancun Adaptation Framework
 - i. Principles
 - ii. Actions (paragraph 14)
 - iii. NAPs process for LDCs and non-LDCs
 - iv. AC
 - v. Means of implementation
 - vi. Loss and damage
 - vii. National-level institutional arrangements
 - viii. Regional centres
 - ix. Provision of information
 - x. Work of relevant stakeholders (para 34)
 - E. Means of implementation (pulling from coherence documents prepared by the Secretariat):
 - a. Finance (GCF, Standing Committee, LTF work program, LDCF, SCCF, AF); Technology (DTT, TEC, CTCN)
 - b. Capacity building (Durban Forum)
 - F. Knowledge management (NWP, L&D work program, AC activities, and GCOS)
 - G. Stakeholder Engagement (multiple issues/dimensions to captured, not only those that come to COP)
 - H. Structure of the secretariat to support A-G
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